REMARKS/ARGUMENTS

Claim 15 was objected to for an informality. Claim 15 has been canceled; therefore, this objection is moot.

Claims 1, 2, 9 and 28-30 were rejected under 35 U.S.C. § 102 as being anticipated by Kalmus et al. Claim 1 has been amended to incorporate the limitations of canceled Claim 4. Claims 2 and 9 depend from amended Claim 1. Claims 28-30 have been canceled. Claim 4 was rejected under Section 103 as discussed below. Therefore, this rejection is also moot since Kalmus et al. does not teach all the limitations of amended Claim 1, and Claims 28-30 have been canceled.

Claims 4-8, 10, 13-27 and 31-48 were rejected under 35 U.S.C. §103 as being unpatentable over Kalmus in view of Hawkins et al. The independent claims in this group include Claims 1, 13, 24, 26, and 40. As for Claim 1, Applicant disagrees that Hawkins et al. in combination with Kalmus discloses the limitations in Claim 1. Among other reasons, it is disagreed that Hawkins et al. teaches any type of means for monitoring logins to the data processing system. Hawkins simply discloses conventional user password protection; however, the means for monitoring logins in the present data processing system includes the ability to print out a report which shows which users attempted logins. This additional security feature of the present invention goes beyond mere user and password protection. Therefore, independent Claim 1 should be allowed. Claims 2, and 5-10 depend from Claim 1 and therefore should also be allowed.

Independent Claim 13 has been amended to incorporate the limitations of canceled Claim 15. More specifically, Claim 13 has been amended to recite that the method further includes the steps of changing an element of data on the original trade record, recording the change of data in the original trade record, and creating a display in the form of a comparison showing the original trade record, and the original trade record as amended with the changed data element. Among other deficiencies with the references, Hawkins completely fails to teach or disclose any type of functionality for the software wherein a record is kept of changed data elements and trade records. On the contrary, Hawkins simply suggests that a supervisor may authorize transmittal of orders and executions from the broker work stations, and further, the Examiner in the Office Action at page 4 states that "other agents and sub-agents may modify, authorize, cancel or modify an order". Hawkins teaches no control or recordation of changed data. This functionality in Hawkins is exactly what the present invention prevents by requiring that not only are all orders reviewed by a supervisor, but also that a record is kept of data changes made to trade records. Hawkins completely fails to disclose any type of functionality which achieves this recordation of changed data in trade records; rather, Hawkins more explicitly suggests that trade records can be easily modified without any recordation function whatsoever as to changes to an original trade record.

Claims 14, 16, 17-23 depend directly or indirectly from Claim 13; therefore, each of these claims should be allowed.

Independent Claims 24 and 26 clearly distinguish over the prior art of record at least for the final step in the claims, namely, creating an output in the form of a compliance report reflective of all rejected email messages. None of the references remotely suggest that any type of record keeping is kept for compliance as to rejected email communications with clients. It is significant to note that the communications in Hawkins et al. occur between brokers and not brokers and clients. The same is true for Kalmus wherein all communications therein are conducted between various brokers or financial institutions and not between brokers and clients. Claim 25 depends from Claim 24. Claim 27 depends from Claim 26. Therefore, Claims 24-27 should be allowed.
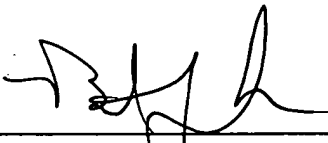
Claim 40 has been amended similar to Claim 13, namely, by inclusion of steps requiring that changed data elements in the original trade records are recorded, and the display is provided for comparison of the original trade record and the original trade record as amended with the changed data elements. For the same reasons as set forth above with respect to Claim 13, Claim 40 should be allowed. Claims 41-48 depend from Claim 40, and also should be allowable.

Applicant has made a sincere effort to place the application in a condition for allowance; therefore, such favorable action is earnestly solicited. In the event that a telephone conversation would further prosecution and/or expedite allowance, the Examiner is invited to contact the undersigned.

Respectfully submitted,

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